

Applicant or Patentee: WU et al.

Docket No. UC072.001A

Serial or Patent No.: 09/990,613

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U. C. Case No. 2002-008-1

Filed or Issued: November 21, 2001

For: **COMPOSITIONS AND METHODS FOR THE ANALYSIS OF MUCIN GENE EXPRESSION AND IDENTIFICATION OF DRUGS HAVING THE ABILITY TO INHIBIT MUCIN GENE EXPRESSION****VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR § 1.9(f) and § 1.27(d)]--NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: **The Regents of the University of California**
ADDRESS OF ORGANIZATION: **1111 Franklin Street, 12th Floor
Oakland, California 94607-5200**

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 601(c) (3)]
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 501(c) (3)] IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled **COMPOSITIONS AND METHODS FOR THE ANALYSIS OF MUCIN GENE EXPRESSION AND IDENTIFICATION OF DRUGS HAVING THE ABILITY TO INHIBIT MUCIN GENE EXPRESSION**by inventor(s) Reen WU and Yin CHEN described in

- ☐ the specification filed herewith
☒ application serial no. 09/990,613, filed November 21, 2001
☐ Patent no. __, issued _____

I hereby declare that rights under **contract or law** have been conveyed to and remain with the nonprofit organization with regard to the above identified invention [except for a license to a Federal Agency pursuant to USC § 202 (c) (4)].

If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR § 1.27).

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR § 1.28(b)]

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine of imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: **Linda S. Stevenson**
TITLE IN ORGANIZATION: **Manager, Patent Prosecution, Office of Technology Transfer**
ADDRESS OF PERSON SIGNING: **1111 Franklin Street, 5th Floor
Oakland, California 94607-5200**SIGNATURE Linda S. StevensonDATE 4/2/02